

# STATE OF ALABAMA

## DEPARTMENT OF MENTAL HEALTH AND MENTAL RETARDATION— FY07-09 IT STRATEGIC PLAN

### IT MISSION

**To deliver and support a broad range of IT services and technologies to administrative offices and program areas that provide mental illness, mental retardation, and substance abuse services to the people of Alabama, in an efficient, timely and fiscally responsible manner.**

### IT VISION

**To define and provide superior information technology solutions to the Department of Mental Health and Mental Retardation.**

### VALUES

#### Quality service

*We provide user-focused, accurate, reliable, and timely service to meet the requirements of our customers.*

#### Respect

*We relate to our consumers, employees and peers in a professional and courteous manner.*

#### Accountability

*We take responsibility for and ownership of our actions and decisions that affect our ability to earn and maintain the trust of our stakeholders.*

#### Teamwork

*We collaborate across multiple disciplines within our unit and with our customers to achieve the goals and objectives of our customers; we value and respect the opinion of each team member.*

#### Integrity

*We will insure public confidence in all services we provide.*

#### Dedication

*We are committed to supporting all goals and objectives of the department of Mental Health and Mental Retardation.*

### WORKLOAD FACTORS

- # of applications supported

- # of networked users
- # of projects
- # of requests

### STAKEHOLDERS

#### CUSTOMERS

- Department employees
- Community Service providers
- Court system
- Other agencies
- Consumers and family members

#### Expectations

- Timely, accurate information
- Support and maintenance of hardware and software.
- Established standards, compatibility
- User friendliness; KISS
- Software functionality
- Training
- Timely payment to Community Service Providers
- Communications about available services
- Secure and confidential data

#### LEADERS

- Commissioner and Executive Management
- Governor and Legislature
- ISD
- Federal Agencies – CMHS, SAMHSA, JCAHO

#### Expectations

- Fiscal responsibility
- Compliance with policies, legislation and standards
- Responsiveness to mandates
- Measured performance
- Satisfactory delivery of services
- Meeting of Government objectives

- Accountable practices and processes.

### PARTNERS

- Vendors
- Other State agencies and external entities
- IT Coordinators

### Expectations

- Provide timely and accurate information
- Comply with agreed upon working arrangements, schedules and information
- Knowledgeable workforce
- Timely payment
- Communication and support for technical issues
- Operating standards
- Security, privacy and confidentiality

### STRENGTHS

- IT senior Leadership
- Departmental leadership's support of IT
- Dedicated employees
- Relationship with IT users
- IT staff's corporate knowledge

### WEAKNESSES

- Inconsistent and inadequate funding
- Inadequate staffing level to effectively meet mission requirements
- Inadequate number of trained personnel to effectively utilize client-server and Web-based applications

### OPPORTUNITIES

- Expansion of IT capabilities and networks throughout the state including
- Implementation of the new state financial system.

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- Potential funding support from National Health Care initiatives
- Emerging standards and national emphasis on development of electronic and personal health records

### THREATS

- Inconsistent delivery of timely IT support by ISD
- Limitations of State personnel system hinder ability to recruit and retain technically qualified employees
- Issuance of compliance mandates without provisions for funding and staffing requirements
- Pending retirements will undermine institutional IT expertise

### CRITICAL ISSUES

#### INTERNAL

- ICI1: Loss of corporate expertise due to retirements  
ICI2: IT Personnel training

#### EXTERNAL

- ECI1: Inconsistent and inadequate funding  
ECI2: Lack of new state IT network infrastructure hurts services  
ECI3: Dependence on ISD/Finance to consistently provide timely support to department IT initiatives  
ECI4: State personnel system limits the ability to recruit qualified applicants and maintain the level of technical competence required to effectively meet support demands  
ECI5: Inadequate off-site back-up and disaster recovery.

### GOALS

- G1. Current Technology** – Provide efficient, automated, recoverable technology systems built on up-to-date infrastructure that insures integrity and security of information resources. (GP2)
- OBJ1: Provide fully managed network that maintains a utilization rate of < 30% with an error rate of < .05%.
- OBJ2: Total policy compliance regarding security and recoverability of key IT Systems
- OBJ3: Efficient systems that do not rely on paper-based processes that support all critical business functions.
- S1: Network performance
- A. Approval of departmental infrastructure standards and compliance. (Larry – Aug 07)
  - B. Audit existing telecommunications infrastructure (Larry – Jan 08)
  - C. Implementation of high speed broadband access to all facilities (Larry Sept 08)
  - D. Identify and hire additional staff (Larry and Dan Jan 09)
- S2: Security and Recoverability
- A. Perform IT Systems risk analysis (David R., Apr 08)
  - B. Develop DR plans for critical systems (David, Oct 08 )
  - C. Perform tabletop testing for critical systems (David, Dec 08)
  - D. Perform parallel DR testing of systems (David, Dec 09)
  - E. Perform systems security profiles for critical systems (Carol, Jun 08)
  - F. Update security profiles on critical systems (Susan, Melanie and Carol, Jul 08)

- G. Evaluate and implement IDS solutions (Larry, Jun 08)

#### S3: Less Reliance on Paper

- A. Develop and implement a paperless access request system.(David, Jun08)
- B. Develop and implement paperless user initiated problem tracking system. (Susan, Jan09 )
- C. Deploy CBT courses and learning management system. (David, Jun08)

- G2. Staffing** – To have a sufficient number of knowledgeable and reliable staff to provide information technology solutions with a high level of customer satisfaction. (GP2)(ICI1, ICI2)

- OBJ1: Proactively identify staffing and competency needs to achieve and maintain our 2009 goals.
- OBJ2: All identified positions are filled with trained, capable staff with cross training, backups and succession plans established.

- S1: Organization – identify required positions.
- A. Identify needed positions. (Dan, Nov08)
  - B. Identify KSAs for each position. (Dan, Dec 08)
  - C. Reassess and modify the org chart. (Dan, Jan 09)

- S2: Recruit, hire and select needed staff
- A. Explore alternative methods of acquiring staff. (Dan and HR, Feb09)
  - B. Determine appropriate method(s) for acquiring staff. (Dan, Mar09)
  - C. Contract/Hire staff. (Dan, Jul09)

- S3: Training and Development of staff
- A. Develop training plan for each position. (Dan, Mar09)

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- B. Select and cross train back-up for each position. (Dan, Sep09)
- C. Determine non-standard IT positions. (IT Steering Comm., Sep09)

**G3. Customer (User) Satisfaction** – Provide users with systems (hardware, software, network) and the flexibility, training and accessible data to meet their needs and expectations. (GP2)

OBJ1: 95% user satisfaction from customer feedback.

S1: User training.

- A. Determine training needs.
- B. Find training sources.
- C. Schedule training.

S2: Improve user access to reports, data and resources.

- A. Inventory currently used reports and contents to produce a directory.
- B. Identify additional reporting requirements.
- C. Evaluate and adopt user friendly report management infrastructure containing ad hoc reporting tools.

S3: Help desk and self help problem solving resources

- A. Develop list of resident experts in various applications.
- B. Track length of time on all responses.

S4: Customer feedback mechanism

- A. Compile list of most common problems.
- B. Develop feedback mechanism
- C. Calculate results.

**G4. Cost Effective, Compliant, Standards-based Systems** – Provide cost effective, regulatory compliant, standards-based systems that meet departmental goals. (GP2)

OBJ1: No unresolved audit exceptions from Examiner of Public Accounts Audit (audit exceptions)

OBJ2: Meet Industry, State and Department IT Standards (Meet compliance assessment standards)

S1: Identify and **update** our application Standards and Regulations for IT; communicate and train staff in their use,

- A. National level – Melanie, annually)
- B. Industry Standards – Larry, annually
- C. State and Departmental Policies – David, quarterly or monthly

S2: Apply Standards and Regulations to new initiatives.

- A. Clinical Systems – Susan
- B. Financial Systems – Carol
- C. Network Infrastructure – Larry

S3: Measure and report compliance.

- A. Conduct annual assessments
  - Clinical Systems – Susan
  - Financial Systems – Carol
  - Network Infrastructure –Larry
  - State and Departmental Procedures, HIPAA - Examiners of Public Accounts – Dan
- B. Clinical Systems Compliance, within 3 months after report. - Susan